

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

Joseph G. GATTO

Serial No.: 09/524,253

Filed: March 13, 2000



Examiner: Unknown

Group Art Unit: Not Assigned

For: SECURITY ANALYSTS ESTIMATES PERFORMANCE VIEWING SYSTEM AND METHOD

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

PETITION TO MAKE SPECIAL

This is a Petition To Make Special for accelerated examination of the above-referenced application that is being filed herewith. The petition fee is enclosed. The Commissioner is authorized to charge any further fees or credit any overpayments to Deposit Account No. 50-0206.

This Petition To Make Special is being made under MPEP 708.02 (VIII). In accordance with that section, Applicants hereby request and submit:

- A. The present Petition To Make Special with fee.
- B. A set of claims directed to a single invention, as presented in the utility application filed herewith.

C. Applicants have caused a pre-examination patentability search to be made.

Applicants commissioned a patentability search on December 15, 1999, in the following fields of search:

<u>Class</u>	<u>Subclass</u>
705	10, 11, 35, and 36

D. An Information Disclosure Statement is being filed herewith that contains a copy of each reference identified as a result of the pre-examination search.

E. The independent claims of the application are:

1. A computer implemented user interface system for use with a database of historical data relating to predictions from a plurality of sources relating to securities, the user interface comprising:

a historical view module to enable users to view the historical data; wherein at least some of the plurality of sources comprise one or more security analysts and the predictions comprise security analysts' earnings estimates, and wherein the historical view module enables a user to view simultaneously, for one or more selected analysts, a time series of earnings estimates for each analyst selected, for a predetermined period, for a predetermined earnings event.

F. Applicants submit a detailed discussion of the references from the search report as follows:

1. U.S. Patent No. 5,608,620

U.S. Patent No. 5,608,620 discloses a method of eliciting unbiased forecasts by relating a forecaster's pay to the forecaster's contribution to a collective forecast. The method involves aggregating predictions; computing

collective losses; calculating individual forecaster's marginal contribution to predictive accuracy; and computing and paying the individual forecaster's compensation as a function of the individual's marginal contribution. U.S. Patent No. 5,608, 620 does not disclose at least a historical view module that "enables a user to view simultaneously, for one or more selected analysts, a time series of earnings estimates for each analyst selected, for a predetermined period, for a predetermined earnings event."

2. U.S. Patent Nos. 5,761,442

U.S. Patent Nos. 5,761,422 discloses a data processing system and method for selecting securities and constructing an investment portfolio based on a set of neural networks which are designed to model and track the performance of each security in a given capital market and output a parameter which is related to the expected risk adjusted return for the security. U.S. Patent Nos. 5,761,422 does not disclose at least a historical view module that "enables a user to view simultaneously, for one or more selected analysts, a time series of earnings estimates for each analyst selected, for a predetermined period, for a predetermined earnings event."

3. U.S. Patent No. 5,946,666

U.S. Patent No. 5,946,666 discloses an apparatus and method for monitoring financial securities markets or financial securities to provide information regarding the status of the financial securities markets or securities. U.S. Patent No. 5,946,666 does not disclose at least a historical view module that

“enables a user to view simultaneously, for one or more selected analysts, a time series of earnings estimates for each analyst selected, for a predetermined period, for a predetermined earnings event.”

4. U.S. Patent No. 5,852,811 and U.S. Patent No. 5,911,136

U.S. Patent No. 5,852,811 and U.S. Patent No. 5,911,136 disclose a personal financial program for incorporating means of implementing, coordinating, supervising, planning, analyzing and reporting upon investments in an array of asset accounts and liability accounts with a client account. Through a prioritization function, the client specifies his financial objectives, his risk preference, a forecast of economic and financial variables, and budgetary constraints. Both U.S. Patent No. 5,852,811 and U.S. Patent No. 5,911,136 do not disclose at least a historical view module that “enables a user to view simultaneously, for one or more selected analysts, a time series of earnings estimates for each analyst selected, for a predetermined period, for a predetermined earnings event.”

5. U.S. Patent No. 5,613,072

U.S. Patent No. 5,613,072 discloses a system for funding future losses incurred by an insurance carrier on active worker’s compensation insurance claims. The system uses statistical models to predict future costs and durations of an insurance carrier’s claims. U.S. Patent No. 5,613,072 does not disclose at least a historical view module that “enables a user to view simultaneously, for one or

more selected analysts, a time series of earnings estimates for each analyst selected, for a predetermined period, for a predetermined earnings event.”

6. U.S. Patent No. 5,893,079

U.S. Patent No. 5,893,079 discloses a system for combining investment data relating to mutual funds or portions thereof or separate portions of a single fund for purposes of transactions, portfolio management or modeling. U.S. Patent No. 5,893,079 does not disclose at least a historical view module that “enables a user to view simultaneously, for one or more selected analysts, a time series of earnings estimates for each analyst selected, for a predetermined period, for a predetermined earnings event.”

7. U.S. Patent No. 5,812,988

U.S. Patent No. 5,812,988 discloses a method and system for jointly estimating cash flows, simulated returns, risk measures and present values for a plurality of assets. U.S. Patent No. 5,812,988 does not disclose at least a historical view module that “enables a user to view simultaneously, for one or more selected analysts, a time series of earnings estimates for each analyst selected, for a predetermined period, for a predetermined earnings event.”

8. U.S. Patent No. 5,774,881

U.S. Patent No. 5,774,881 discloses a method for simulating future cash flow for a given asset allocation under a variety of economic conditions, comparing the results of the simulation to a predefined risk tolerance baseline, and preferably adjusting the asset allocation until the results of the simulation reflect a

maximum rate of return for a given risk tolerance. U.S. Patent No. 5,774,881 does not disclose at least a historical view module that “enables a user to view simultaneously, for one or more selected analysts, a time series of earnings estimates for each analyst selected, for a predetermined period, for a predetermined earnings event.”

9. U.S. Patent No. 5,774,880

U.S. Patent No. 5,774,880 discloses a data processing system to receive a continuous stream of real time transactional data regarding market transactions of fixed income securities where the incoming data is qualified and then used to determine the term structure of interest rates based on price information. U.S. Patent No. 5,774,880 does not disclose at least a historical view module that “enables a user to view simultaneously, for one or more selected analysts, a time series of earnings estimates for each analyst selected, for a predetermined period, for a predetermined earnings event.”

10. U.S. Patent No. 5,909,669

U.S. Patent No. 5,909,669 discloses a system for generating a knowledge worker productivity assessment including a database that stores survey data and benchmark values, the survey data numerically representing a qualitative assessment concerning a criterion associated with a knowledge worker. U.S. Patent No. 5,909,669 does not disclose at least a historical view module that “enables a user to view simultaneously, for one or more selected analysts, a time

series of earnings estimates for each analyst selected, for a predetermined period, for a predetermined earnings event.”

11. U.S. Patent No. 5,500,795

U.S. Patent No. 5,500,795 discloses a method and system for generating performance data relating to the efficiency of an organization and including the steps of describing a plurality of performance variables associated with the organization. U.S. Patent No. 5,500,795 does not disclose at least a historical view module that “enables a user to view simultaneously, for one or more selected analysts, a time series of earnings estimates for each analyst selected, for a predetermined period, for a predetermined earnings event.”

12. U.S. Patent No. 5,963,922

U.S. Patent No. 5,963,922 discloses a system for mapping items such as financial transactions where each transaction has line entries with each line entry relating to a particular object, such as an account. U.S. Patent No. 5,963,922 does not disclose at least a historical view module that “enables a user to view simultaneously, for one or more selected analysts, a time series of earnings estimates for each analyst selected, for a predetermined period, for a predetermined earnings event.”

13. U.S. Patent No. 5,365,425

U.S. Patent No. 5,365,425 discloses a method and system for measuring management effectiveness. U.S. Patent No. 5,365,425 does not disclose at least a historical view module that “enables a user to view simultaneously, for one or

more selected analysts, a time series of earnings estimates for each analyst selected, for a predetermined period, for a predetermined earnings event.”

14. U.S. Patent No. 3,270,190

U.S. Patent No. 3,270,190 discloses an apparatus for evaluating the capital appreciation potential of investments and for predicting future prices of a common stock. U.S. Patent No. 3,270,190 does not disclose at least a historical view module that “enables a user to view simultaneously, for one or more selected analysts, a time series of earnings estimates for each analyst selected, for a predetermined period, for a predetermined earnings event.”

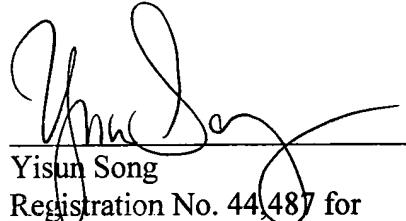
CONCLUSION

On the basis of the foregoing, the Applicants respectfully request the granting of this Petition To Make Special so that the application will be taken up promptly, and respectfully solicit favorable examination at that time.

Respectfully submitted,

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